

2875

PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

101

Application Number

10/601,616

Filing Date

June 23, 2003

First Named Inventor

Timothy A. McCollum

Art Unit

2875

Examiner Name

Attorney Docket Number

GLOLP0108USG

**ENCLOSURES (Check all that apply)**☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☒

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐Response to Missing Parts/  
Incomplete Application☐Response to Missing Parts  
under 37 CFR 1.52 or 1.53☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐Petition to Convert to a  
Provisional Application☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) \_\_\_\_\_

☐After Allowance communication  
to Group☐Appeal Communication to Board  
of Appeals and Interferences☐Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)☐

Proprietary Information

☐

Status Letter

☐Other Enclosure(s) (please  
Identify below):

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm

or

Individual name

Donald L. Otto, Reg. No. 22,125

Signature

Date

September 25, 2003

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name

Donald L. Otto

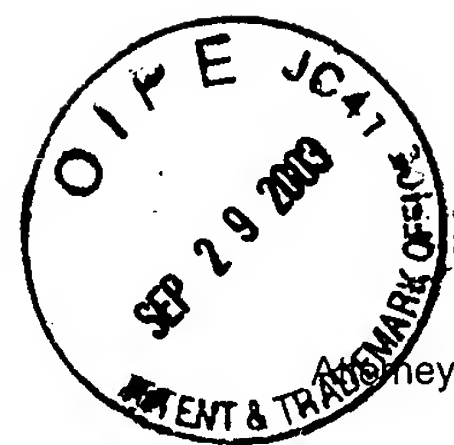
Signature

Date

9/25/03

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Attorney Docket No. GLOLP0108USG

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Timothy A. McCollum et al  
Serial No.: 10/601,616  
Filed: June 23, 2003  
For: LIGHT EMITTING PANEL ASSEMBLIES

Art Unit: 2875  
Examiner:

### INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.:	<u>09/256,275</u>	<u>08/778,089</u>	<u>08/495,176</u>
Filing Date:	<u>2/23/99</u>	<u>1/2/97</u>	<u>6/27/95</u>
Patent No.:		<u>6,079,838</u>	<u>5,613,751</u>
Issue Date:		<u>6/27/00</u>	<u>3/25/97</u>

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

(a) ☐ A copy of each English language version of a search report (or EPO Search Report) indicating the degree of relevance found by the foreign office of each document being submitted from the search report, is being submitted herewith or has previously been submitted.

(b) ☐ Attached is a "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

(a) ☐ Within 3 months of the filing date, date of entry into the National Stage, or filing date of CPA.

(b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988 for consideration of this Statement.

(c) \_\_\_ Before the mailing date of a first Office Action on the merits after a first or second submission after final rejection under 37 C.F.R. 1.129(a).

(d) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_ The required certification is given below, or

(2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988

(e) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p), or

(2) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988.

4. Certification (if applicable)

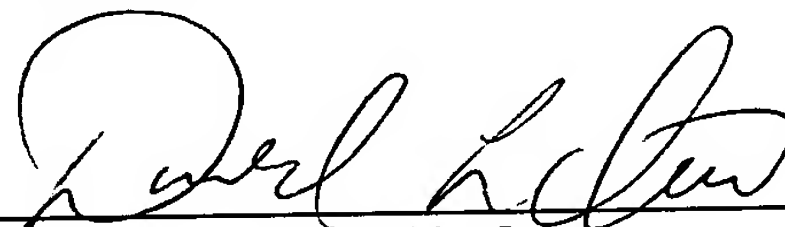
(a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 18-0988.

Respectfully Submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

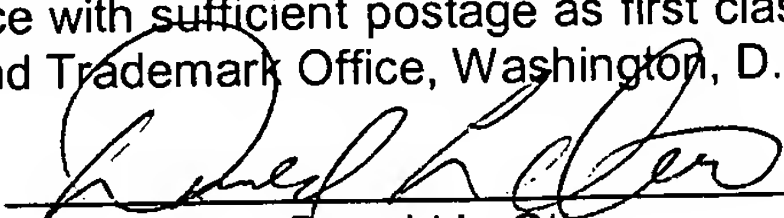
By   
Donald L. Otto  
Reg. No. 22,125

1621 Euclid Avenue, 19th Floor  
Cleveland, Ohio 44115  
(216) 621-1113

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, U.S. Patent and Trademark Office, Washington, D.C. 20231.

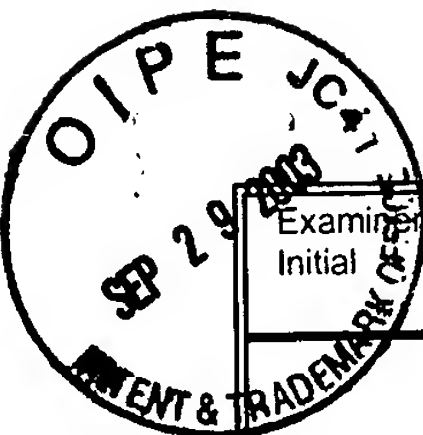
Date: September 25, 2003

  
Donald L. Otto

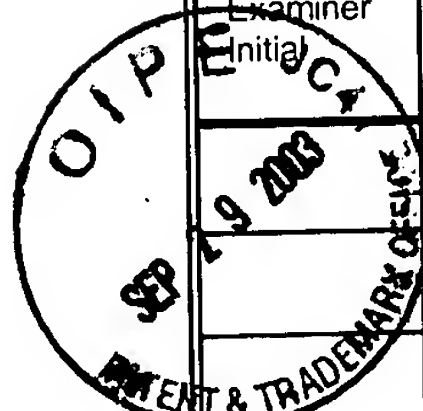
Form PTO-1449 (Modified)  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	Atty Docket No. GLOLP0108USG	Serial No. 10/601,616
	Applicant: Timothy A. McCollum et al	
	Filing Date June 23, 2003	Group 2875

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date (MM/YYYY)	Name	Class	Sub-class	Filing Date if Appropriate
	3,043,947	7/1962	Albinger, Jr.			
	3,070,913	1/1963	Miller			
	3,328,570	6/1967	Balchunas			
	3,543,014	11/1970	Bustad			
	3,571,585	3/1971	Schermerhorn			
	3,752,974	8/1973	Baker et al			
	3,761,703	9/1973	Mund et al			
	3,892,959	7/1975	Pulles			
	3,958,113	5/1976	Termohlen			
	4,043,636	8/1997	Eberhardt et al			
	4,118,111	10/1978	Laesser			
	4,177,501	12/1979	Karlin			
	4,183,628	1/1980	Laesser			
	4,257,084	3/1981	Reynolds			
	4,282,560	8/1981	Kringel et al			
	4,290,093	9/1981	Thompson et al			
	4,446,508	5/1984	Kinzie			
	4,542,449	9/1985	Whitehead			
	4,573,766	3/1986	Bournay, Jr. et al			
	4,630,895	12/1986	Abdala, Jr. et al			
	4,714,983	12/1984	Lang			
	4,729,185	3/1988	Baba			
	4,751,615	6/1988	Abrams			
	4,763,984	8/1988	Awai et al			
	4,765,701	8/1988	Cheslak			



Examiner Initial	Document Number	Date (MM/YYYY)	Name	Class	Sub-class	Filing Date if Appropriate
	4,906,070	3/1990	Cobb, Jr.			
	4,974,122	11/1990	Shaw			
	4,975,808	12/1990	Bond et al			
	4,978,952	12/1990	Irwin			
	5,005,108	4/1991	Pristash et al			
	5,027,258	6/1991	Schoniger et al			
	5,056,892	10/1991	Cobb, Jr.			
	5,070,431	12/1991	Kitazawa et al			
	5,093,765	3/1992	Kashima et al			
	5,134,549	7/1992	Yokoyama			
	5,136,483	8/1992	Schoniger et al			
	5,178,447	1/1993	Murase et al (enclosed)			
	5,207,493	5/1993	Murase et al			
	5,262,928	11/1993	Kashima et al			
	5,283,673	2/1994	Murase et al			
	5,303,322	4/1994	Winston et al			
	5,307,244	4/1994	Gaudette			
	5,339,179	8/1994	Rudisill et al			
	5,349,503	9/1994	Blonder et al			
	5,375,043	12/1994	Tokunaga			
	5,377,084	12/1994	Kojima et al			
	5,390,085	2/1995	Mari-Roca et al			
	5,394,308	2/1995	Watanabe et al			
	5,396,350	3/1995	Beeson et al			
	5,442,523	8/1995	Kashima et al			
	5,467,208	11/1995	Kokawa et al			
	5,467,417	11/1995	Nakamura et al			
	5,485,291	1/1996	Qiao et al			
	5,506,929	4/1996	Tai et al			
	5,521,342	5/1996	Barley et al			
	5,576,078	11/1996	Schatz			



Examiner Initial	Document Number	Date (MM/YYYY)	Name	Class	Sub-class	Filing Date if Appropriate
	5,579,134	11/1996	Lengyel			
	5,598,281	1/1997	Zimmerman et al			
	5,590,945	1/1997	Simms			
	5,600,462	2/1997	Suzuki et al			
	5,618,095	4/1997	Kashima et al			
	5,649,754	7/1997	Matsumoto (enclosed)			
	5,664,862	9/1997	Redmond et al			
	5,671,994	9/1997	Tai et al			
	5,711,592	1/1998	Hotta			
	5,719,649	2/1998	Shono et al			
	5,771,328	6/1998	Wortman et al			
	5,775,791	7/1998	Yoshikawa et al			
	5,779,337	7/1998	Saito et al			
	5,779,338	7/1998	Ishikawa et al			
	5,808,784	9/1998	Ando et al			
	5,844,720	12/1998	Ohara et al			
	5,890,791	4/1999	Saito			
	5,917,664	6/1999	O'Neill et al			
	5,919,551	7/1999	Cobb, Jr. et al			
	5,931,555	8/1999	Akahane et al (enclosed)			
	5,961,198	10/1999	Hira et al			
	5,971,559	10/1999	Ishikawa et al			
	6,011,602	1/2000	Miyashita et al			
	6,036,329	3/2000	Iimura			
	6,091,547	7/2000	Gardiner et al			
	6,120,280	9/2000	Mimura et al			
	6,130,730	10/2000	Jannson et al			
	6,151,169	11/2000	Kim			
	6,172,809	1/2001	Koike et al (enclosed)			





FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date (MM/YYYY)	Country	Class	Sub-class	Translation	
						Yes	No
	0 453 092 A1	23/10/91	EP				
	WO 96/17207	06/06/96	PCT				
	Patent Pub. No. 368610	pub. 9/1/99	Taiwan				
	WO 96/27757	9/1996	PCT				
	WO 98/50806	11/1998	PCT				
	WO 99/42861	8/1999	PCT				

OTHER ART

Examiner Initial	Author, Title, Date, Pertinent Pages, etc.

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.